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PTO/SB/21 (04-07)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/782,738 - Conf. #1671
	Filing Date	February 18, 2004
	First Named Inventor	Andreas H. SARRIS
	Art Unit	1615
	Examiner Name	G. S. Kishore
Total Number of Pages in This Submission	Attorney Docket Number	HBZ-013CNRCE

**ENCLOSURES (Check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <div style="border: 1px solid black; height: 80px; width: 100px; margin: 10px auto;"></div> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below): 1) Petition to Correct Inventorship; 2) Declaration, executed by all correct inventors; 3) Statement of Lawrence D. Mayer; 4) Written Consent of Assignee Board of Regents; 5) Statement Under 37 CFR 3.73(b) and recorded Assignment to Board of Regents; 6) Written Consent of Assignee Inex Pharmaceuticals; 7) State- ment Under 37 CFR 3.73(b) and recorded Assignment to Inex Pharmaceuticals; and 8) Return Receipt Postcard
<div style="border: 1px solid black; height: 40px; width: 100%;"></div> Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	LAHIVE & COCKFIELD, LLP		
Signature			
Printed name	Jane E. Remillard, Esq.		
Date	June 20, 2007	Reg. No.	38,872

Express Mail Label No. EV 956467337 US

Dated: June 20, 2007



Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

<b>PROCESSING FEE</b> <b>Under 37 CFR 1.17(i)</b> <b>TRANSMITTAL</b> (Fees are subject to annual revision)	<b>Application Number</b>	10/782,738 - Conf. #1671
	<b>Filing Date</b>	February 18, 2004
	<b>First Named Inventor</b>	Andreas H. SARRIS
	<b>Art Unit</b>	1615
	<b>Examiner Name</b>	G. S. Kishore
	<b>Attorney Docket Number</b>	HBZ-013CNRCE

Send completed form to: Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

Enclosed is a paper filed under 37 CFR 1.48 that requires a processing fee (37 CFR 1.17(i)).  
Payment of \$ 130.00 is enclosed.

This form should be included with the above-mentioned paper and faxed or mailed to the Office using the appropriate Mail Stop, if applicable. For transmittal of petition fees under 37 CFR 1.17(f), (g) or (h), see form PTO/SB/17p.

**Payment of Fees** (small entity amounts are NOT available for the processing fees)

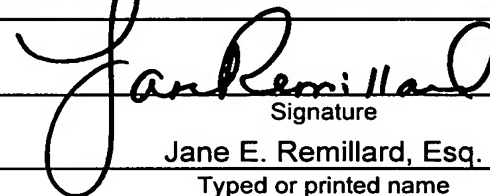
- ☒ The Commissioner is hereby authorized to charge the following fees to Deposit Account No. 12-0080 :  
☒ processing fee under 37 CFR 1.17(i) ☒ any deficiency of fees and credit of any overpayments  
Enclose a duplicative copy of this form for fee processing.
- ☐ Check in the amount of \$ \_\_\_\_\_ is enclosed.
- ☐ Payment by credit card (Form PTO-2038 or equivalent enclosed). Do not provide credit card information on this form.

**Processing Fees under 37 CFR 1.17(i): Fee \$130**

**Fee Code 1808 for all,  
Except for \$1.221 papers (Fee Code 1803)**

For papers filed under:

- § 1.28(c)(3) – for processing a non-itemized fee deficiency based on an error in small entity status.
- § 1.41 – for supplying the name or names of the inventor or inventors after the filing date without an oath or declaration as prescribed by §1.63, except in provisional applications.
- § 1.48 – for correcting inventorship, except in provisional applications.
- § 1.52(d) – for processing a nonprovisional application filed with a specification in a language other than English.
- § 1.53(b)(3) – to convert a provisional application filed under § 1.53(c) into a nonprovisional application under §1.53(b).
- § 1.55 – for entry of late priority papers.
- § 1.71(g)(2) – to enter an amendment to the specification for purposes of 35 U.S.C. 103(c)(2) if not filed within the cited time periods
- § 1.99(e) – for processing a belated submission under § 1.99.
- § 1.103(b) – for requesting limited suspension of action, continued prosecution application (§ 1.53(d)).
- § 1.103(c) – for requesting limited suspension of action, request for continued examination (§ 1.114).
- § 1.103(d) – for requesting deferred examination of an application.
- § 1.217 – for processing a redacted copy of a paper submitted in the file of an application in which a redacted copy was submitted for the patent application publication.
- § 1.221 – for requesting voluntary publication or republication of an application. **Fee Code 1803**
- § 1.291(c)(5) – for processing a second or subsequent protest by the same real party in interest.
- § 1.497(d) – for filing an oath or declaration pursuant to 35 U.S.C. 371(c)(4) naming an inventive entity different from the inventive entity set forth in the international stage.
- § 3.81 – for a patent to issue to assignee, assignment submitted after payment of the issue fee.

  
\_\_\_\_\_  
Signature  
Jane E. Remillard, Esq.  
\_\_\_\_\_  
Typed or printed name

\_\_\_\_\_  
June 20, 2007  
Date  
38,872  
\_\_\_\_\_  
Registration No., if applicable

Express Mail Label No. EV 956467337 US

Dated: June 20, 2007

Docket No. HBZ-013CNRCE  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Andreas H. Sarris *et al.*

Application No. 10/782,738

Confirmation No. 1671

Filed: February 18, 2004

Art Unit: 1615

For: COMPOSITIONS AND METHODS FOR  
TREATING LYMPHOMA

Examiner: G. S. Kishore

**PETITION TO CORRECT INVENTORSHIP PURSUANT TO 37 C.F.R. 1.48(a)**

MS Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This Petition under 37 C.F.R. 1.48(a)(2) is to add Lawrence D. Mayer as inventor number seven (7), to the above-referenced patent application.

Accordingly, enclosed are the following documents:

1. An executed statement by Lawrence D. Mayer stating that the error in omitting him as an inventor was erroneous and occurred without deceptive intent;
2. A Declaration, executed by all correct inventors;
3. Written Consent of Assignee, Board of Regents;
4. Statement Under 37 CFR 3.73(b) and copy of recorded Assignment to Board of Regents;
5. Written Consent of Assignee, Inex Pharmaceuticals; and
6. Statement Under 37 CFR 3.73(b) and copy of recorded Assignment to Inex Pharmaceuticals.

06/22/2007 RMEBRAHT 00000008 120080 10782738

01 FC:1464 130.00 DA

Please charge the appropriate petition fee of \$130.00 pursuant to 37 CFR 1.17(i) to our Deposit Account No. 12-0080.

Dated: June 20, 2007

Respectfully submitted,

By 

Jane E. Remillard, Esq.

Registration No. 38,872

LANIVE & COCKFIELD, LLP

One Post Office Square

Boston, Massachusetts 02109-2127

(617) 227-7400

(617) 742-4214 (Fax)

Attorney/Agent For Applicants



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention**      **COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/782,738, filed on February 18, 2004,  
☒ as amended on July 13, 2004, August 11, 2004, May 23, 2006, October 20, 2006, and  
December 20, 2006 (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one:      Andress H. Sarris      Citizen of:      US  
Signature:      Andress H Sarris      Date:      24.5.07

Inventor two:      Fernando Cabanillas      Citizen of:      US  
Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor three:      Patricia M. Logen      Citizen of:      Canada  
Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor four:      Clive T.R. Burge      Citizen of:      Canada  
Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor five:      James H. Goldie      Citizen of:      Canada  
Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

☒ Additional inventors or a legal representative are being named on 1 additional form attached hereto.

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

<b>Title of Invention</b>	<b>COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA</b>
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As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/782,738, filed on February 18, 2004,  
☒ as amended on July 13, 2004, August 11, 2004, May 23, 2006, October 20, 2006, and December 20, 2006 (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one: <u>Andreas H. Sarris</u>	Citizen of: <u>US</u>
Signature: _____	Date: _____

Inventor two: <u>Fernando Cabanillas</u>	Citizen of: <u>US</u>
Signature: <u>C.L. Sarris</u>	Date: <u>4/19/07</u>

Inventor three: <u>Patricia M. Logan</u>	Citizen of: <u>Canada</u>
Signature: _____	Date: _____

Inventor four: <u>Clive T.R. Burge</u>	Citizen of: <u>Canada</u>
Signature: _____	Date: _____

Inventor five: <u>James H. Goldie</u>	Citizen of: <u>Canada</u>
Signature: _____	Date: _____

X Additional inventors or a legal representative are being named on 1 additional form attached hereto.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention** COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/782,738, filed on February 18, 2004,  
☒ as amended on July 13, 2004, August 11, 2004, May 23, 2006, October 20, 2006, and  
December 20, 2006 (if applicable);

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**FULL NAME OF INVENTOR(S)**

Inventor one: Andreas H. Sarris Citizen of: US  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor two: Fernando Cabanillas Citizen of: US  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor three: Patricia M. Logan Citizen of: Canada  
Signature: P. Logan Date: May 29, 2007

Inventor four: Clive T.R. Burge Citizen of: Canada  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor five: James H. Goldie Citizen of: Canada  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

X Additional inventors or a legal representative are being named on 1 additional form attached hereto.

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

<b>Title of Invention</b>	<b>COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA</b>
---------------------------	---

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/782,738, filed on February 18, 2004,  
☒ as amended on July 13, 2004, August 11, 2004, May 23, 2006, October 20, 2006, and December 20, 2006 (if applicable);

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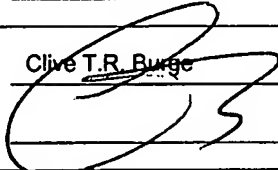
All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one: <u>Andreas H. Sarris</u>	Citizen of: <u>US</u>
Signature: _____	Date: _____

Inventor two: <u>Fernando Cabanillas</u>	Citizen of: <u>US</u>
Signature: _____	Date: _____

Inventor three: <u>Patricia M. Logan</u>	Citizen of: <u>Canada</u>
Signature: _____	Date: _____

Inventor four: <u>Clive T.R. Burge</u>	Citizen of: <u>Canada</u>
Signature: 	Date: <u>April 18, 2007</u>

Inventor five: <u>James H. Goldie</u>	Citizen of: <u>Canada</u>
Signature: _____	Date: _____

☒ Additional inventors or a legal representative are being named on 1 additional form attached hereto.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of Invention**      **COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

The attached application, or

☒ Application No. 10/782,738, filed on February 18, 2004,

☐ as amended on July 13, 2004, August 11, 2004, May 23, 2006, October 20, 2006, and  
December 20, 2006 (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

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**FULL NAME OF INVENTOR(S)**

Inventor one:      Andreas H. Sarris      Citizen of:      US

Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor two:      Fernando Cabanillas      Citizen of:      US

Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor three:      Patricia M. Logan      Citizen of:      Canada

Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor four:      Clive T.R. Burge      Citizen of:      Canada

Signature:      \_\_\_\_\_      Date:      \_\_\_\_\_

Inventor five:      James H. Goldie      Citizen of:      Canada

Signature:      James Goldie      Date:      April 19/07

☒ Additional inventors or a legal representative are being named on 1 additional form attached hereto.



**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**ADDITIONAL INVENTOR(S)  
Supplemental Sheet**

Page 2 of 2

**FULL NAME OF INVENTOR(S)**

Inventor six: Murray S. Webb Citizen of: Canada  
Signature: [Signature] Date: 20 April, 2007

Inventor seven: Lawrence D. Mayer Citizen of: Canada  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor eight: \_\_\_\_\_ Citizen of: \_\_\_\_\_  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor nine: \_\_\_\_\_ Citizen of: \_\_\_\_\_  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

☐ Additional inventors or a legal representative are being named on \_\_\_\_\_ additional form(s) attached hereto.

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**ADDITIONAL INVENTOR(S)  
Supplemental Sheet**

Page 2 of 2

**FULL NAME OF INVENTOR(S)**

Inventor six: Murray S. Webb Citizen of: Canada

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor seven: Lawrence D. Mayer Citizen of: Canada

Signature:  Date: April 18, 07

Inventor eight: \_\_\_\_\_ Citizen of: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor nine: \_\_\_\_\_ Citizen of: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

☐ Additional inventors or a legal representative are being named on \_\_\_\_\_ additional form(s) attached hereto.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andreas H. Sarris et al.  
Application No. : 10/782,738  
Filed : February 18, 2004  
For : COMPOSITIONS AND METHODS FOR TREATING  
LYMPHOMA

Examiner : Gollamudi S. Kishore  
Art Unit : 1615  
Docket No. : 480208.401C3

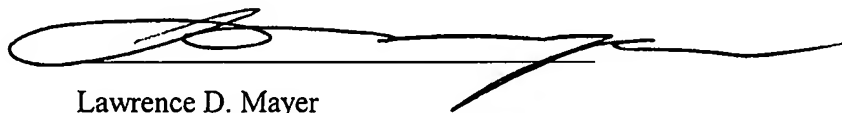
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

STATEMENT OF LAWRENCE D. MAYER UNDER 37 CFR 1.48(a)

I, Lawrence D. Mayer, hereby declare as follows:

1. I, Lawrence D. Mayer, am a joint inventor of the above-identified patent application.
2. The inventorship error, which mistakenly omitted me as a joint inventor in the above-identified patent application, occurred without deceptive intent on my part.
3. I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Dated this 18 day of April, 2007.

  
Lawrence D. Mayer



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andreas H. Sarris et al.  
Application No. : 10/782,738  
Filed : February 18, 2004  
For : COMPOSITIONS AND METHODS FOR TREATING  
LYMPHOMA

Examiner : Gollamudi S. Kishore

Art Unit : 1615

Docket No. : 480208.401C3

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

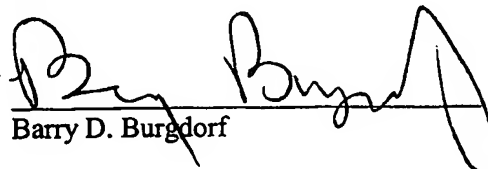
CONSENT OF ASSIGNEE TO CORRECT INVENTORSHIP UNDER 37 CFR 1.48(a)

The undersigned hereby declares that Board of Regents, The University of Texas System, is an assignee of the above-identified application, as evidenced by the Recordation of Assignment recorded on September 18, 2000, at Reel Number 011171, Frame Number 0233.

Board of Regents, The University of Texas System, hereby consents to the correction of inventorship of the above-identified application to add Lawrence D. Mayer as inventor, as requested in the Request to Correct Inventorship under 37 CFR 1.48(a) filed herewith.

The undersigned (whose title is supplied below) is authorized to act on behalf of the Assignee.

DATED this 19<sup>th</sup> day of June, 2007.



Barry D. Burgdorf

Title: Vice Chancellor & General Counsel

Board of Regents, The University of Texas System



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Andreas H. Sarris et al.  
Application No./Patent No.: 10/782,738 Filed/Issue Date: February 18, 2004  
Entitled: COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA

Board of Regents, The University of Texas a university  
System  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above.  
The assignment was recorded in the United States Patent and Trademark Office at Reel 011171, Frame 0233, or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

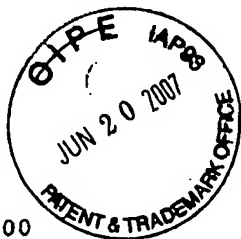
The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature

6/19/2007  
Date

Barry D. Burgdorf  
Typed or printed name

Vice Chancellor & General Counsel  
Title



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington DC 20231

DECEMBER 15, 2000

PTAS  
TOWNSEND AND TOWNSEND AND CREW LLP  
EUGENIA GARRETT-WACKOWSKI  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834



UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/18/2000

REEL/FRAME: 011171/0233  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
SARRIS, ANDREAS H.

DOC DATE: 09/07/2000

ASSIGNOR:  
CABANILLAS, FERNANDO

DOC DATE: 09/07/2000

ASSIGNEE:  
BOARD OF REGENTS, THE UNIVERSITY  
OF TEXAS SYSTEM  
201 WEST 7TH ROAD  
AUSTIN, TEXAS 78701

SERIAL NUMBER: 09541436  
PATENT NUMBER:

FILING DATE: 03/31/2000  
ISSUE DATE:

TOWNSEND & TOWNSEND  
& CREW  
RECEIVED  
00 DEC 27 PM 2:00

011171/0233 PAGE 2

MARGARET LASALLE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



10-17-2000

ocket No. 016303-007620US

9-18-00



FORM PTO-1595 (Rev. 6-93)		U.S. Department of Commerce Patent and Trademark Office	
To the Honorable Asst. Commissioner for Patents.		101489422	
1. Name of conveying party(ies):  Andreas H. Sarris and Fernando Cabanillas  Additional name(s) of conveying parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No.		2. Name and address of receiving party(ies)  Name: Board of Regents, The University of Texas System  Internal Address:  Street Address: 201 West 7th Street  City: Austin State: TX ZIP: 78701  Additional names and addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other:  Execution Date: September 7, 2000 and September 7, 2000			
4. Application Number(s) or Patent Numbers.  If this document is being filed together with a new application, the execution date of the application is:  A. Patent Application No(s): 09/541,436 B. Patent No(s):  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed:  Name: Eugenia Garrett-Wackowski TOWNSEND AND TOWNSEND AND CREW LLP Two Embarcadero Center, 8th Floor San Francisco, California 94111-3834 (415) 576-0200		6. Total number of applications and patents involved 1  7. Total fee (37 CFR 3.41): \$40.00  <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Charge Fees to Deposit Account  <input checked="" type="checkbox"/> Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.  8. Deposit account number: 20-1430	
DO NOT USE THIS SPACE			
9. Statement and signature.  <i>To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.</i>  Peter J. Follette Name of Person Signing  Atty Reg. No. 46,213  Signature:  Date: 9/13/00  Total number of pages including cover sheet, attachments and document 4			
10. Change Correspondence Address to that of Part 5? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
OMB No. 0651-0011 (exp. 4/94)			
Mail documents to be recorded with required cover to: 10/17/2000 6TON11 00000043 201430 09541436 01 FC:581 40.00 CH		Do not detach this portion  Asst Commissioner for Patents Box: Assignments Washington, D.C. 20231	

SF 1135623 v1

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, do/does hereby:

SELL, ASSIGN AND TRANSFER to Board of Regents, The University of Texas System (the "Assignee"), having a place of business at 201 West 7th Street, Austin, Texas, 78701, the/their entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 09/541,436 which has been filed on March 31, 2000 and is entitled "Compositions and Methods for Treating Lymphoma," such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

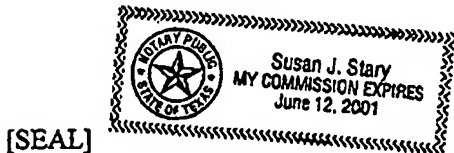
COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature: A. H. Sarris Date: 9/7/00  
Name: Andreas H. Sarris

STATE OF TEXAS )  
 ) ss.  
COUNTY OF HARRIS )

BEFORE ME, the undersigned authority, on this 7 day of September, 2000, personally appeared A. H. Sarris, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Susan J. Stary  
Notary or Consular Officer

Signature: C. L. R. Date: 9/7/00  
Name: Fernando Cabanillas

STATE OF TEXAS )  
 ) ss.  
COUNTY OF HARRIS )

BEFORE ME, the undersigned authority, on this 7 day of September, 2000, personally appeared Fernando Cabanillas, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Susan J. Stary  
Notary or Consular Officer



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andreas H. Sarris et al.  
Application No. : 10/782,738  
Filed : February 18, 2004  
For : COMPOSITIONS AND METHODS FOR TREATING  
LYMPHOMA

Examiner : Gollamudi S. Kishore  
Art Unit : 1615  
Docket No. : 480208.401C3

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450


CONSENT OF ASSIGNEE TO CORRECT INVENTORSHIP UNDER 37 CFR 1.48(a)

The undersigned hereby declares that INEX Pharmaceuticals Corporation is an assignee of the above-identified application, as evidenced by the Recordation of Assignment recorded on September 18, 2000, at Reel Number 011153, Frame Number 0509.

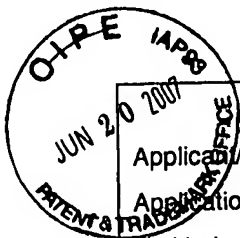
INEX Pharmaceuticals Corporation hereby consents to the correction of inventorship of the above-identified application to add Lawrence D. Mayer as inventor, as requested in the Request to Correct Inventorship under 37 CFR 1.48(a) filed herewith.

The undersigned (whose title is supplied below) is authorized to act on behalf of the Assignee.

DATED this 18<sup>th</sup> day of April, 2007.

  
Title: President & CEO

INEX Pharmaceuticals Corporation



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Andreas H. Sarris et al.  
Application No./Patent No.: 10/782,738 Filed/Issue Date: February 18, 2004  
Entitled: COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA

INEX Pharmaceuticals Corporation

(Name of Assignee)

a

corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or  
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above.  
The assignment was recorded in the United States Patent and Trademark Office at Reel 011153, Frame 0509, Reel 019158, Frame 0801, and Reel 019159, Frame 0183 or a true copy of the original assignment is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

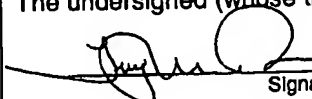
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature

Apr. 18, 2007  
Date

Timothy M. Ruane  
Typed or printed name

President & CEO  
Title



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231



\*101489423A\*

TOWNSEND AND CREW  
EUGENIA GARRETT-WACKOWSKI  
TWO EMBARCADERO CENTER  
8TH FLOOR  
SAN FRANCISCO, CA 94111-3834

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RECORDATION DATE: 09/18/2000

REEL/FRAME: 011153/0509  
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
LOGAN, PATRICIA M.

DOC DATE: 09/08/2000

ASSIGNOR:  
BURGE, CLIVE T.R.

DOC DATE: 08/31/2000

ASSIGNOR:  
GOLDIE, JAMES H.

DOC DATE: 08/31/2000

ASSIGNOR:  
WEBB, MURRAY S.

DOC DATE: 08/30/2000

ASSIGNEE:  
INEX PHARMACEUTICALS CORPORATION  
100-8900 GLENLYON PARKWAY  
GLENLYON BUSINESS PARK  
BURNABY, B.C., CANADA V6K 3S4

SERIAL NUMBER: 09541436  
PATENT NUMBER:

FILING DATE: 03/31/2000  
ISSUE DATE:

011153/0509 PAGE 2

SONYA JOHNSON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

JUN 20 2007

10-17-2000

cket No. 016303-007620US



101489423

U.S. Department of Commerce  
Patent and Trademark Office

FORM PTO-1595

(Rev. 6-30-00)

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

Patricia M. Logan; Clive T.R. Burge; James H. Goldie;  
and Murray S. WebbAdditional name(s) of conveying parties attached? ☐ Yes  
☒ No.

2. Name and address of receiving party(ies)

Name: Inex Pharmaceuticals Corporation

Internal Address:

Street Address: 100-8900 Glenlyon Parkway  
Glenlyon Business Park

City: Burnaby, B.C. Country: CANADA ZIP: V6K 3S4

Additional names and addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: 09/08/00; 08/31/00; 08/31/00 and 08/30/00

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/541,436

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No5. Name and address of party to whom correspondence  
concerning document should be mailed:Name: Eugenia Garrett-Wackowski  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): -----\$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during  
the pendency of this application, or credit any overpayment, to  
deposit account.

8. Deposit account number: 20-1430

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original  
document.

Peter J. Follette  
Name of Person Signing

Atty Reg. No. 46,213

  
Signature9/13/00  
Date

Total number of pages including cover sheet, attachments and document 7

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

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10/17/2000 GTON:1 00000044 201430 09541436  
01 FC:581 40.00 CHAsst. Commissioner for Patents  
Box: Assignments  
Washington, D.C. 20231



**ASSIGNMENT OF PATENT APPLICATION**

JOINT

WHEREAS, **Andreas H. Sarris**, of 7200 Alameda Road, Apt. 715, Houston, TX 77054, **Fernando Cabanillas**, of 2316 Shakespeare Rd., Houston, TX 77030, **Patricia M. Logan**, of 462 Aubrey Pl., Vancouver, B.C., V5V 2T6, Canada, **Clive T.R. Burge**, of 917 Damelart Way, Brentwood Bay, B.C., V8M 1C2, Canada, **James H. Goldie**, of 2558 W. 7th Avenue, Vancouver, B.C., V6K 1Y9, Canada, and **Murray S. Webb**, of 8467 Sunset Dr., Delta, B.C., V4C 3Y5, Canada, are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:       **COMPOSITIONS AND METHODS FOR TREATING LYMPHOMA**

Date(s) of execution of Declaration:

Filing Date:               **March 31, 2000**

Application No.:           **09/541,436; and**

WHEREAS, **Andreas H. Sarris**, of 7200 Alameda Road, Apt. 715, Houston, TX 77054, **Fernando Cabanillas**, of 2316 Shakespeare Rd., Houston, TX 77030, have assigned their rights in this application to **The University of Texas M.D. Anderson Cancer Center** of 1515 Holcombe Blvd, Houston, TX 77030; and

WHEREAS, **Inex Pharmaceuticals Corporation**, located at 100-8900 Glenlyon Parkway, Glenlyon Business Park, Burnaby, B.C., CA, V6K 3S4, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request **Townsend and Townsend and Crew LLP**, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: Sept. 8, 2000

Patricia M. Logan  
Patricia M. Logan

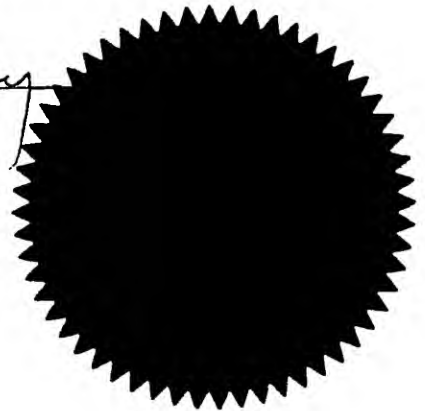
PROVINCE OF BRITISH COLUMBIA )  
STATE OF CALIFORNIA ) ss.  
COUNTY OF )

On SEPT. 8, 2000, before me, THOMAS J. DIGBY, personally appeared Patricia M. Logan, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Thomas J. Digby  
NOTARY PUBLIC

My Commission Expires: until



Dated: August 31, 2000

PROVINCE OF BRITISH COLUMBIA  
STATE OF CALIFORNIA

COUNTY OF \_\_\_\_\_

ss.

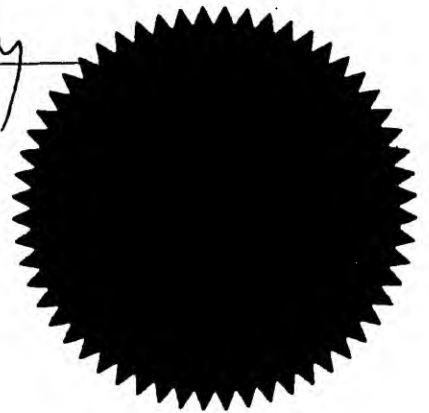
[Signature]  
Clive T.R. Burge

On Aug 31, 2000, before me, THOMAS J. DIGBY, personally appeared  
Clive T.R. Burge, personally known to me (or proved to me on the basis of satisfactory evidence)  
to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed  
the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

[Signature]  
NOTARY PUBLIC

My Commission Expires: 11/1/01



Dated: Aug 31/2001

James H. Goldie  
James H. Goldie

STATE OF CALIFORNIA )

ss.

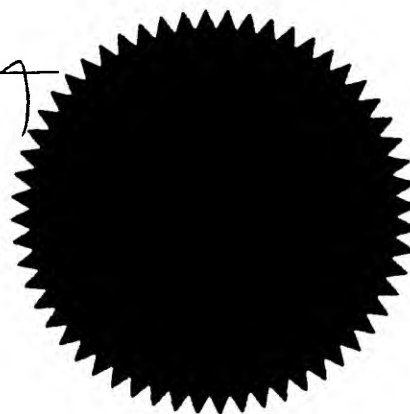
COUNTY OF )

On Aug 31/00, before me, THOMAS J. DIGBY, personally appeared James H. Goldie, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.


WITNESS my hand and official seal.

Thomas J. Digby  
NOTARY PUBLIC

My Commission Expires: undated



Dated: 30 Aug. 2000

  
Murray S. Webb

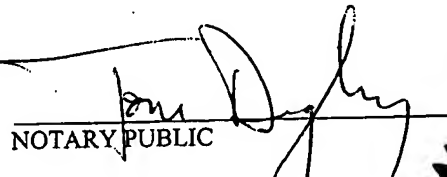
PROVINCE OF BRITISH COLUMBIA  
~~STATE OF CALIFORNIA~~

COUNTY OF

)  
)  
)  
ss.

On Aug 30, 2000, before me, THOMAS J. DIBB-1, personally appeared  
Murray S. Webb, personally known to me (or proved to me on the basis of satisfactory evidence)  
to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed  
the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: unlim.

